



Governance Report to Audit Committee

18 March 2019

CONTRIBUTION LIST

Service Area:	Responsible:
LGSS Contract Management Risk/policies/emergency planning/AOB Internal Controls GDPR H & S	Stuart McGregor Jo Bonham Karen Middleton David Taylor Julian Bissaker

1. LGSS Contract Management:

Meeting in February to discuss review of the KPI's, follow up meeting March/April 2019.
Contact made with Head of Insurance with a view to overseeing the provision and prepare for the renewal information.

2. Risk registers:

Corporate risk register update for Q4 to be actioned March 2019.
Review of all service risk registers April – May.

3. Emergency Planning:

Training for newly identified silvers and golds undertaken December 2018.
Brexit training January/February 2019.
Business Continuity plans started to be updated for all service areas – to be finalised March 2019.

4. Internal Controls:

1. Internal control reviews update.

- Temporary Workers – continuing to monitor and provide information to management to facilitate decision making.
- Asset Management Debt – have identified a resource to undertake the work required to get the GVA system up to date. Once this is completed a full reconciliation to Agresso will be undertaken followed by a review of all debtors. Some debt recovery work is now being undertaken within the assets team.

2. Internal control reviews in progress:

- Corporate debt – work substantially completed and will be reported to management this month.
- Management of the establishment list/structure chart – work is ongoing but it is dependent on the completion of the restructure of Agresso (HR).

3. Internal control reviews planned:

- Parking income
- Market income

4. Position statement on vacant posts and temporary workers.

Service Area	01-Apr-18	28-Feb-19	Comments
Chief Executive's Office	3	0	None.
Head of Economy, Assets & Culture	8	6	2 consultants delivering specific project work. 1 providing additional project management resource. 3 covering vacancies in the estates team.
Head of Planning	1	2	1 covering a vacant post in the Policy and Heritage team. 1 covering maternity leave in the Building Control team.
Head of Housing & Wellbeing	4	14	7 are additional resource in the Outreach team and 3 are providing cover for the Winter Shelter. Additional monies have been provided by MHCLG, under the Rough Sleepers Initiative, to fund these posts from 14/02/2019 to 31/03/2019. 2 are covering a vacancies in the Housing Options (Prevention) team. 1 is working in a housing strategy role. 1 is working in a community wellbeing role.
Borough Secretary & Monitoring Officer	2	4	1 covering a legal admin post with a permanent member of staff due to start on 18/03/2019. 3 covering vacant posts in the Legal team (these posts have been recently advertised but the recruitment process was not successful).
Chief Finance Officer (S151)	1	0	None.
Head of Customers & Communities	1	1	Covering a vacant post in the customer services team with a permanent member of staff due to start on 01/03/2019.
Total	20	28	

5. Health & Safety:

Audits 18/19 to date:

Audits							
Operational Team	RA's	Written Procedures	Document control	Comms	Accident procedure	Training	Compliant Score
Market	85	60	90	90	90	70	81%
Neighbourhood Wardens	80	80	90	100	90	80	87%
Park Rangers	70	80	90	100	90	70	83%
Customer Services	90	100	100	100	90	90	95%
One Stop Shop	90	100	100	100	90	90	95%
Carparks	80	90	80	100	90	90	88%
Abington Museum	80	80	90	100	100	90	90%
Call Care	80	100	100	100	100	80	93%
Bus Station	60	60	80	90	90	90	78%
Planning Policy and Heritage	0	50	90	90	100	90	70%
Building Control	90	90	100	100	100	90	95%
Development Management	90	90	100	100	100	90	95%
Land Charges	60	80	100	100	90	90	87%
							0%

Planned Audits & Inspections for February 2019

The Guildhall facilities operation will audited on 21st February 2019

6. GDPR:

Overall (April 18 to Feb 19)			Cause						Improvement					
Service	Total		Email	Document posted to wrong address	Telephony	Insecure destruction	Equipment Theft	Cyber Security		Procedure improvement	Correct Data Set	Update contact details	Staff Training	Notes
Borough Secretary (3)	1		0	0	0	0	1	0		1	0	0	0	Stolen Laptop. Fully encrypted. No password

													loss.
Customers and Communities (6)	0	0	0	0	0	0	0	0	0	0	0	0	
Economy Assets and Culture (7)	0	0	0	0	0	0	0	0	0	0	0	0	
Finance and Governance (11)	0	0	0	0	0	0	0	0	0	0	0	0	
Planning (14)	2	0	0	0	0	0	0	0	0	0	0	0	No beach (2 Cases)
CTax & HB (LGSS) (5)	4	2	1	0	0	0	0	0	0	2	1	0	3 breaches non-reportable to the ICO all involving documents sent to the wrong address
CIlr (4)	1	0	0	0	0	0	0	0	0	0	0	0	No breach
Environmental Health (8)	0	0	0	0	0	0	0	0	0	0	0	0	
HR and Payroll (13)	0	0	0	0	0	0	0	0	0	0	0	0	
Post Room (15)	1	0	0	0	0	0	0	0	0	0	0	0	No breach
Housing and Wellbeing (12)	4	3	0	0	0	0	0	0	0	1	2	0	3 breaches non-reportable to the ICO all involving emails going to the wrong address.
NNDR (16)	1	0	0	0	0	0	0	0	0	0	0	0	No breach
External Agency (9)	1	0	0	0	0	0	0	0	0	0	0	0	External agency self-reported. Non-reportable to the ICO.
External Contractor (10)	1	0	1	0	0	0	0	0	1	0	0	0	1 breach non-reportable to the ICO involving document posted to the wrong address
NLT (17)	1	0	0	0	0	0	1	0	1	0	0	0	Stolen Laptop Fully encrypted. No password loss.
Total	17	5	2	0	0	0	2	0	3	3	3	0	

7. AOB:

- Service plans are being updated March 2019 for all services for 19/20.
- Baseline exercise for unitary project team underway – start March 2019 through May 2019.